

## NUCLEAR SAFETY

### **Arrangement Between the UNITED STATES OF AMERICA and FRANCE**

Signed at Vienna October 3, 2008

*with*

Annex



NOTE BY THE DEPARTMENT OF STATE

Pursuant to Public Law 89—497, approved July 8, 1966  
(80 Stat. 271; 1 U.S.C. 113)—

“ . . . the Treaties and Other International Acts Series issued under the authority of the Secretary of State shall be competent evidence . . . of the treaties, international agreements other than treaties, and proclamations by the President of such treaties and international agreements other than treaties, as the case may be, therein contained, in all the courts of law and equity and of maritime jurisdiction, and in all the tribunals and public offices of the United States, and of the several States, without any further proof or authentication thereof.”

**FRANCE**

**Nuclear Safety**

*Arrangement signed at Vienna October 3, 2008;  
Entered into force October 3, 2008.  
With annex.*

**ARRANGEMENT**

**BETWEEN**

**THE NUCLEAR REGULATORY COMMISSION OF  
THE UNITED STATES OF AMERICA  
(USNRC)**

**AND**

**THE AUTORITE DE SURETE NUCLEAIRE DE FRANCE  
(ASN)**

**FOR THE EXCHANGE OF TECHNICAL INFORMATION**

**AND**

**COOPERATION IN THE REGULATION OF NUCLEAR  
SAFETY**

**OCTOBER 3, 2008**

**ARRANGEMENT BETWEEN**  
**THE NUCLEAR REGULATORY COMMISSION**  
**OF THE UNITED STATES OF AMERICA (USNRC)**  
**AND**  
**THE AUTORITE DE SURETE NUCLEAIRE DE FRANCE (ASN)**  
**FOR THE EXCHANGE OF TECHNICAL INFORMATION**  
**AND COOPERATION IN THE REGULATION OF NUCLEAR SAFETY**

The Nuclear Regulatory Commission of the United States of America (hereinafter called the USNRC) and the Autorité de Sûreté Nucléaire de France (hereinafter called the ASN), both hereinafter referred to as the Parties;

Having a mutual interest in a continuing exchange of information pertaining to regulatory matters and of standards required or recommended by their organizations for the regulation of safety and environmental impact of nuclear facilities;

Having similarly cooperated under the terms of a five-year Arrangement for the exchange of technical information in regulatory matters and cooperation in development of safety standards, signed on June 28, 1974, between the United States Atomic Energy Commission and the French Ministère de L'Industrie et de la Recherche;

Having concluded successor Arrangements for five-year periods beginning October 25, 1979, September 17, 1984, September 4, 1990, and April 17, 2003;

Recognizing that on June 13, 2006, the ASN assumed the nuclear safety and radiation protection responsibilities in France;

The USNRC and ASN now having indicated their mutual desire to continue the established cooperation for another five years;

Have agreed as follows:

## **I. SCOPE OF THE ARRANGEMENT**

### **A. Technical Information Exchange**

To the extent that the USNRC and the ASN are permitted to do so under the laws, regulations, and policy directives of their respective countries, the parties agree to exchange the following types of technical information relating to the regulation of safety, radiation protection, waste management, and environmental impact of designated nuclear energy facilities:

1. Topical reports concerning technical safety, radiation protection, waste management, and environmental effects written by or for one of the parties as a basis for, or in support of, regulatory decisions and policies.
2. Documents relating to significant licensing actions and safety and environmental decisions affecting nuclear facilities.
3. Detailed documents describing the USNRC process for licensing and regulating certain U.S. facilities designated by the ASN as similar to certain facilities being built or planned in France and equivalent documents on such French facilities.
4. Reports on operating experience, such as reports on nuclear incidents, accidents and shutdowns, and compilations of historical reliability data on components and systems.
5. Regulatory procedures for the safety, radiation protection, waste management, and environmental impact evaluation of nuclear facilities.

6. Early advice of important events, such as serious operating incidents and government-directed reactor shutdowns, that are of immediate interest to the parties.
7. Copies of regulatory standards required to be used, or proposed for use, by the regulatory organizations of the parties.

B. General Assignments

Temporary assignments of personnel by one party within the other party's general organization and activities will be considered on a case-by-case basis and will, in general, require a separate letter of agreement.

C. Cooperation in Anticipatory Safety Research

The terms of cooperation for joint programs and projects of anticipatory nuclear safety research and development, or those programs and projects under which activities are divided between the parties, including the use of test facilities and/or computer programs owned by either party, will be considered on a case-by-case basis and may be the subject of a separate agreement, if determined to be necessary by either of the parties. When not the subject of a separate agreement, the terms of cooperation may be established by an exchange of letters between the parties and will be subject to the terms and conditions of the present agreement. Each party will transmit immediately to the other information containing anticipatory research results that requires early attention in the interest of public safety, along with an indication of significant implications. Temporary assignments of personnel by one party within the other party's anticipatory research activities will also be considered on a case-by-case basis and will, in general, require a separate letter of agreement.

## II. ADMINISTRATION

### A. Exchange of Information

The exchange of information under this Arrangement will be accomplished through letters, reports, and other documents, and by visits and meetings arranged in advance. A meeting will be held at such times as mutually agreed to review the exchange of information, to recommend revisions to the provisions of the Arrangement, and to discuss topics within the scope of the exchange. The time, place, and agenda for such meetings will be agreed upon in advance. Visits which take place under this Arrangement, including their schedules, will have the prior approval of the Arrangement administrators.

### B. Coordination

An administrator will be designated by each party to coordinate its participation in the overall exchange. The administrators will be the recipients of all documents transmitted under the exchange, including copies of all letters unless otherwise agreed. Within the terms of the exchange, the administrators will be responsible for developing the scope of the exchange, including agreement on the designation of the nuclear energy facilities subject to the exchange, and on specific documents and information to be exchanged. One or more technical coordinators may be appointed as direct contacts for specific disciplinary areas. These technical coordinators will assure that both administrators receive copies of all transmittals. These detailed arrangements are intended to assure, among other things, that a reasonably balanced exchange providing access to equivalent available information from both sides is achieved and maintained.

### C. Application or Use of Exchanged Information

The application or use of any information exchanged or transferred between the parties under this Arrangement will be the responsibility of the receiving party, and the transmitting party does not warrant the suitability of such information for any particular use or application.



D. Information Held by Other Agencies of the Governments

Recognizing that some information of the type covered in this Arrangement is not available within the agencies which are parties to this Arrangement, but is available from other agencies of the governments of the parties, each party will assist the other to the maximum extent possible by organizing visits and directing inquiries concerning such information to appropriate agencies of the government concerned. The foregoing will not constitute a commitment of other agencies to furnish such information or to receive such visitors.

E. Compliance with Laws, Regulations, and Policy Directives

Nothing contained in this Arrangement will require either party to take any action which would be inconsistent with its laws, regulations, and policy directives. Should any conflict arise between the terms of this Arrangement and those laws, regulations, and policy directives, the parties agree to consult before any action is taken. No nuclear information related to proliferation-sensitive technologies will be exchanged under this Arrangement.

F. Financial Coverage

Unless otherwise agreed in writing, all costs resulting from cooperation pursuant to this Arrangement will be the responsibility of the party that incurs them. The ability of the parties to carry out their obligations is subject to the appropriation of funds by the appropriate governmental authority and to laws and regulations applicable to the parties.

### III. EXCHANGE AND USE OF INFORMATION

#### A. General

The Parties support the widest possible dissemination of information provided, created or exchanged under this Arrangement, subject to the requirements of each Party's national laws, regulations and policy directives and the need to protect proprietary and other sensitive or privileged information, and subject to the provisions of the Intellectual Property Annex, hereby incorporated into this Arrangement.

#### B. Definitions

1. The term "information" means unclassified nuclear energy-related regulatory, safety, safeguards, waste management, scientific, or technical data, including information on results or methods of assessment, research, and any other knowledge provided, created or exchanged under this Arrangement.

2. The term "proprietary information" means information created or exchanged under this Arrangement which contains trade secrets or other privileged or sensitive commercial information (such that the person having the information may derive a commercial benefit from it or may have a commercial advantage over those who do not have it), and may only include information which:

- (a) has been held in confidence by its owner;
- (b) is of a type which is customarily held in confidence by its owner;
- (c) has not been transmitted by the owner to other entities (including the receiving Party) except on the basis that it be held in confidence;
- (d) is not otherwise available to the receiving Party from another source without restriction on its further dissemination; and
- (e) is not already in the possession of the receiving Party.

3. The term "other confidential or privileged information" means unclassified information, other than "proprietary information," which has been transmitted and received in confidence under this Arrangement and is protected from public disclosure under the laws, regulations, or policy directives of the country of the Party providing the information, or is otherwise restricted by the provider.'

C. Marking Procedures for Documentary Proprietary Information

A party receiving documentary proprietary information pursuant to this Arrangement will respect the privileged nature of such information, provided that such proprietary information is clearly marked with the following (or substantially similar) restrictive legend:

"This document contains proprietary information furnished in confidence under an Arrangement dated October 3<sup>rd</sup>, 2008 between the United States Nuclear Regulatory Commission and the Autorité de Sûreté Nucléaire de France and will not be disseminated outside these organizations, their consultants, contractors, and licensees, or concerned departments and agencies of the Government of the United States and the Government of France, without the prior written approval of (name of transmitting Party). This notice will be marked on each page of any reproduction hereof, in whole or in part. These limitations will automatically terminate when the proprietary information is disclosed by the owner without restriction."

This restrictive legend shall be respected by the Parties to this Arrangement.

Proprietary information bearing this restrictive legend shall not be made public or otherwise disseminated in any manner unspecified or contrary to the terms of this Arrangement without the prior written consent of the transmitting Party. Proprietary information bearing this restrictive legend shall not be used by the receiving Party or its contractors and consultants for any commercial purposes without the prior written consent of the transmitting Party.

D. Dissemination of Documentary Proprietary Information

1. In general, proprietary information received under this Arrangement may be disseminated by the receiving Party without prior consent to persons within or employed by the receiving Party, and to concerned Government departments and Government agencies in the country of the receiving Party, provided

- (a) such dissemination is made on a case-by-case basis to persons or departments and agencies having a legitimate need for the proprietary information; and
- (b) such proprietary information shall bear the restrictive legend appearing in Section III.C of this Arrangement.

2. Proprietary information received under this Arrangement may be disseminated by the receiving Party without prior consent to contractors and consultants of the receiving Party located within the geographical limits of that Party's nation, provided

- (a) that the proprietary information is used by such contractors and Consultants only for work within the scope of their contracts with the receiving Party relating to the subject matter of the proprietary information, and shall not be used by such contractors and consultants for any other private commercial purposes; and
- (b) that such dissemination is made on a case-by-case basis to contractors and consultants having a legitimate need for the proprietary information and who have executed a non-disclosure agreement; and
- (c) that such proprietary information shall bear the restrictive legend appearing in Section III.C of this Arrangement.

3. With the prior written consent of the Party furnishing proprietary information under this Arrangement, the receiving Party may disseminate such proprietary information more widely than otherwise permitted under the terms set forth in this Arrangement. The Parties will endeavor to grant such approval to the extent permitted by their respective national laws, regulations and policy directives, provided

- (a) that the entities receiving proprietary information under Section III.D.3 of this Arrangement, including domestic organizations permitted or licensed by the receiving Party to construct or operate nuclear production or utilization facilities, or to use nuclear materials and radiation sources, have a legitimate need for the proprietary information and have executed a non-disclosure agreement; and
- (b) that the entities receiving proprietary information under Section III.D.3 of this Arrangement, including domestic organizations permitted or licensed by the receiving Party to construct or operate nuclear production or utilization facilities, shall not use such proprietary information for any private commercial purposes; and
- (c) that those entities receiving proprietary information under Section III.D.3 of this Arrangement that are domestic organizations permitted or licensed by the receiving Party, agree to use the proprietary information only for activities carried out under or within the terms of their specific permit or license.

E. Marking Procedures for Other Confidential or Privileged Information of a Documentary Nature

A Party receiving under this Arrangement other confidential or privileged information will respect its confidential nature, provided such information is clearly marked so as to indicate its confidential or privileged nature and is accompanied by a statement indicating

1. that the information is protected from public disclosure by the government of the transmitting Party, and
2. that the information is transmitted under the condition that it be maintained in confidence.

F. Dissemination of Other Confidential or Privileged Information of a Documentary Nature

Other confidential or privileged information may be disseminated in the same manner as that set forth in paragraph D., Dissemination of Documentary Proprietary Information.

G. Non-Documentary Proprietary or Other Confidential or Privileged Information

Non-documentary proprietary or other confidential or privileged information provided in seminars and other meetings organized under this Arrangement, or information arising from the attachments of staff, use of facilities, or joint projects, will be treated by the Parties according to the principles specified for documentary information in this Arrangement; provided, however, that the party communicating such proprietary or other confidential or privileged information has placed the recipient on notice as to the character of the information communicated.

H. Consultation

If, nevertheless, wider dissemination than otherwise permitted in this Arrangement without prior approval from the sending party is requested from the receiving party in pursuance of its own national law, the receiving party will inform the sending party at once and, if necessary, put before the competent authority appropriate arguments for non-dissemination.

I. Other

Nothing contained in this Arrangement will preclude a party from using or disseminating information received without restriction by a party from sources outside of this Arrangement.

J. Dispute Resolution

Cooperation under this Arrangement will be governed by the laws and regulations of the respective countries. Any dispute or questions between the parties concerning the interpretation or application of this Arrangement arising during its term will be settled by mutual agreement of the parties.

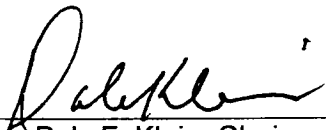
**IV. FINAL PROVISIONS**

- A. This Arrangement will enter into force upon signature and, subject to paragraph B. of this Article, will remain in force for a period of five (5) years. It may be extended for a further period of time by written agreement of the parties.
- B. Either party may withdraw from this Arrangement after providing the other party written notice 180 days prior to its intended date of withdrawal.
- C. All information protected by provisions of this Arrangement as proprietary or other confidential or privileged information will remain so protected for the duration of this Arrangement and after this Arrangement has expired or been terminated, unless otherwise agreed by the parties in writing.

DONE at Vienna this 3<sup>rd</sup> day of October 2008, in the English and French languages, both texts being authentic.

FOR THE NUCLEAR REGULATORY  
COMMISSION OF THE UNITED  
STATES OF AMERICA

FOR THE AUTORITE DE SURETE  
NUCLEAIRE DE FRANCE



Dale E. Klein, Chairman



André-Claude Lacoste, Chairman

## **ANNEX - INTELLECTUAL PROPERTY**

### **PREAMBLE**

PURSUANT TO ARTICLE III OF THIS AGREEMENT:

The parties shall ensure adequate and effective protection of intellectual property created or furnished under this agreement and relevant implementing arrangements. The parties agree to notify one another in a timely fashion of any inventions or copyrighted works arising under this agreement and to seek protection for such intellectual property in a timely fashion. Rights to such intellectual property shall be allocated as provided in this annex.

### **I - SCOPE**

I-A. This annex is applicable to all cooperative activities undertaken by the parties or by the relevant entities (hereafter "cooperative entities") pursuant to this agreement, except as otherwise specifically agreed by the parties or their cooperative entities.

I-B. For purposes of this agreement, "intellectual property" shall have the meaning found in Article 2 of the convention establishing the World Intellectual Property Organization, done at Stockholm, July 14, 1967.

I-C. This annex addresses the allocation of rights, interests, and royalties between the parties. Each party shall ensure that the other party or cooperative entities can obtain the rights to intellectual property allocated in accordance with the annex. The allocation between a party and participants on behalf of this party in the cooperative activities, which shall be determined by the party's laws and practices, shall not be altered or prejudiced by application of this annex.

I-D. Disputes concerning intellectual property arising under this agreement should be resolved through discussions between the concerned participating institutions or, if necessary, the parties or their designees. Upon mutual agreement of the parties, a dispute shall be submitted to an arbitral tribunal for binding arbitration in accordance with the applicable rules of international law.



Unless the parties or their designees agree otherwise in writing, the arbitration rules of UNCITRAL shall govern.

I-E. Termination or expiration of this agreement shall not affect the rights or obligations under this annex.

## **II - ALLOCATION OF RIGHTS**

II-A. Each party, subject to the restrictions of Article III of this annex, shall be entitled to a nonexclusive, irrevocable, royalty-free license in all countries to translate, reproduce, and publicly distribute scientific and technical journal articles, and publicly available reports directly arising under this agreement. All publicly distributed copies of a copyrighted work prepared under this provision shall indicate the names of the authors of the work unless an author explicitly declines to be named. Each party or its cooperative entities shall have the right to review a translation prior to public distribution.

II-B. Rights to all forms of intellectual property, other than those rights described in section II(A) above, shall be allocated as follows:

II-B/1. Visiting researchers, for example, scientists visiting primarily in furtherance of their education, shall receive intellectual property rights under the policies of the host institution, unless a specific agreement is or has been signed between the host and forwarding institutions. In addition, each visiting researcher named as an inventor shall be entitled to treatment as a national of the host country with regard to awards, bonuses, benefits, and any other rewards, in accordance with the policies of the host institution.

II-B/2(A). For intellectual property created during joint research, the parties or their cooperative entities shall jointly develop a technology management plan either prior to the start of their cooperation, for example in research areas likely to lead rapidly to industrial applications, or within a reasonable time from the time a party becomes aware of the creation of intellectual property. The technology management plan shall consider the relative contributions of the parties and their cooperative entities, the benefits of exclusive or non-exclusive licensing by territory or for field of

use, requirements imposed by the parties domestic laws, and other factors deemed appropriate. If needed, the technology management plan shall be jointly modified or completed in a timely fashion, subject to the approval of both parties or their cooperative entities.

II-B/2(B). If the parties or their cooperative entities cannot reach agreement on a joint technology management plan within a reasonable time not to exceed six months from the time a party becomes aware of the creation of the intellectual property in question, each party may designate one co-exclusive licensee to have world-wide rights to said intellectual property. Each party shall notify the other two months prior to making a designation under this paragraph. When both parties (or their licensees) exploit the intellectual property in a country, they shall share equally the reasonable cost of intellectual property protection in that country.

II-B/2(C). A specific program of research will be regarded as joint research for purposes of allocating rights to intellectual property only when it is designated as such in the relevant implementing agreement; otherwise the allocation of rights to intellectual property will be in accordance with paragraph II-B/1.

II-B/2(D). In the event that either party believes that a particular joint research project under this agreement will lead, or has led, to the creation or furnishing of intellectual property of a type not protected by the applicable laws of one of the parties, the parties shall immediately hold discussions to determine the allocation of the rights to the said intellectual property; the joint activities in question will be suspended during the discussions, unless otherwise agreed by the parties thereto. If no agreement can be reached within a three month period from the date of the request for discussions, the parties shall cease the cooperation in the project in question. Notwithstanding paragraphs II-B/2(A) and (B), rights to any intellectual property which has been created will be resolved in accordance with the provisions of Article I-D.